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PHONE (626) 796-4000

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JUN 17 2002

TECHNOLOGY CENTER 2800

TO:

NAME	FIRM	FAX NO.
Honorable Commissioner of Patents and Trademarks	United States Patent and Trademark Office	(703) 872-9318

FROM:

NAME	Robert J. Rose	EXT	230	DATE	June 17, 2002
SECTY	Trina L. Chamberlain	EXT	276	TIME	4:10 p.m.
OUR REF	Sheldon & Mak Docket No. 14122	YOUR REF	Decorative Light Connector 09/784,778 February 15, 2001		

Total number of pages (including fax cover sheet): 24

If you do not receive all pages, please phone Trina L. Chamberlain at (626) 796-4000.

MESSAGE:

Attached please find the following documents regarding the above-referenced application:

1. Transmittal (1 page);
2. RCE with Submission (1 page + 18 pages Submission)
3. Fee Transmittal for FY 2002 (1 page);
4. Petition for Extension of Time (1 page); and
5. Certificate of Transmission by Facsimile (1 page)

CONFIDENTIALITY NOTICE: The documents accompanying this facsimile transmission contain privileged and confidential information. Do not disclose or discuss this information with anyone other than those identified above. Unauthorized disclosure is strictly prohibited. If you receive this facsimile in error, please notify us by telephone immediately.

09/784,778

14122

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : WONG, Tsui-Tuan Fan
Serial No. : 09/784,778
Filing Date : February 15, 2001
Title : DECORATIVE LIGHT CONNECTOR
Group Art Unit : 2875
Examiner : FIGUEROA, Felix O.

TRANSMITTAL

Honorable Commissioner of Patents and Trademarks
Washington, D. C. 20231

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JUN 17 2002

Dear Sir:

TECHNOLOGY CENTER 2800

Transmitted herewith is the following:

- (a) Request for Continued Examination Transmittal;
- (b) Petition for Extension of Time; and
- (c) Fee Transmittal for FY 2002 authorizing RCE fee of \$740, Extension for Reply of \$920 and Extra Claims of \$162 to be charged to Sheldon & Mak Deposit Account No. 19-2090.

If there is any additional fee which is due with regard to this matter, the Patent and Trademark Office is authorized to charge payment of that fee to Deposit Account No. 19-2090.

Respectfully submitted,
SHELDON & MAK PC

Dated: June 17, 2002

By: Robert J. Rose
Robert J. Rose
Reg. No. 47,037

Sheldon & Mak PC
225 South Lake Avenue, 9th Floor
Pasadena, California 91101-3005
Telephone (626) 796-4000
Facsimile (626) 795-6321

I hereby certify that this paper is being transmitted by facsimile via (703) 872-9318 to the U.S. Patent and Trademark Office on the date shown below.

Printed Name: Trina L. ChamberlainSignature: Trina L. Chamberlain Date: 6-17-02

FAX TRANSMISSION

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TO:

NAME	FIRM	FAX NO.
Honorable Commissioner of Patents and Trademarks	United States Patent and Trademark Office	(703) 872-9318

FROM:

NAME	Robert J. Rose	EXT	230	DATE	June 17, 2002
SECTY	Trina L. Chamberlain	EXT	276	TIME	11:15 a.m.
OUR REF	Sheldon & Mak Docket No. 14122	YOUR REF	Decorative Light Connector 09/784,778 February 15, 2001		

Total number of pages (including fax cover sheer): 8

If you do not receive all pages, please phone Trina L. Chamberlain at (626) 796-4000.**MESSAGE:**

Attached please find the following documents regarding the above-referenced application:

1. Transmittal;
2. Power of Attorney authorizing Customer Number 23676;
3. Fee Deficiency Statement;
4. Fee Transmittal for FY 2002; and
5. Certificate of Transmission by Facsimile

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PTO/SB/17 (11-01)

Approved for use through 10/31/2002. OMB 0851-0032
Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

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**FEE TRANSMITTAL
for FY 2002**

Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27**TOTAL AMOUNT OF PAYMENT****\$440.00****Complete if Known**

Application Number	09/784,778
Filing Date	February 15, 2001
First Named Inventor	WONG, Tsui-Tuan Fan
Examiner Name	FIGUEROA, Felix O.
Group Art Unit	2875
Attorney Docket No.	14122

FAX COPY RECEIVED**JUN 17 2002****TECHNOLOGY CENTER 2800****METHOD OF PAYMENT (check all that apply)**☐ Check ☐ Credit card ☐ Money ☐ Other ☐ None☒ Deposit Account:Deposit Account Number: **19-2090**Deposit Account Name: **Sheldon & Mak**

The Commissioner is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments
☒ Charge any additional fee(s) during the pendency of this application
☐ Charge fee(s) indicated below, except for the filing fee to the above identified deposit account.
FEE CALCULATION**1. BASIC FILING FEE**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
101	740	201	370	Utility filing fee	
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	
SUBTOTAL (1)					

2. EXTRA CLAIM FEES FOR UTILITY AND

Total Claims		Extra Claims		Fee from below		Fee Paid	
		-20--	-	0	X		0.00
Independent Claims		-3--	-	0	X		0.00
Multiple Dependent							

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
103	18	203	9	Claims in excess of 20	
102	84	202	42	Independent claims in excess of 3	
104	280	204	140	Multiple dependent claim, if not paid	
109	84	209	42	** Reissue independent claims over original patent	
110	18	210	9	** Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2)					\$0.00

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)**3. ADDITIONAL FEES**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non - English specification	
147	2,520	147	2,520	For filing a request for ex parte reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR § 1.17(q)	
126	180	126	180	Submission of Information Disclosure Statement	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	
Other fee (specify) <u>Fee Deficiency Statement</u>					440.00

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)**\$440.00****SUBMITTED BY**

Name	Robert J. Rose
Signature	<i>Robert J. Rose</i>

Registration No.
(Attorney/Agent)

47,037

Complete (if applicable)

Telephone

626-796-4000

Date

June 17, 2002

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09/784,778

14122

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : WONG, Tsui-Tuan Fan
Serial Number : 09/784,778
Filing Date : February 15, 2001
Title : DECORATIVE LIGHT CONNECTOR
Group Art Unit : 2875
Examining Attorney : FIGUEROA, Felix O.

#10
6/19/02
Juni

FEES DEFICIENCY STATEMENT
37 C.F.R. § 1.28(c); MPEP § 509.03(X)

FAX COPY RECEIVED

Honorable Commissioner of Patents and Trademarks
Washington, D. C. 20231

JUN 17 2002

TECHNOLOGY CENTER 2800

Dear Sir:

This is a submission and itemization pursuant to 37 C.F.R. § 1.28(c) of a fee deficiency caused by payment of small entity fees in error. The concurrently filed Statement Pursuant To 37 C.F.R. § 1.28(c) and 37 C.F.R. § 1.27(g)(2) Notification, signed by the Applicant and incorporated herein, states that small entity status was established in this case and small entity fees were paid, in good faith and without deceptive intent. The Applicant has now discovered that such small entity status was established in error.

Applicant's new counsel has not had access to the official record, and estimates the following itemization as the fee deficiency amount due, and dates paid, upon information and belief.

Application: 09/784,778

Type of Fee	Fee Paid	Date Paid	Current Fee	Deficiency
Basic Filing Fee	\$355	2/15/01	\$740	\$385
One-Month Extension	\$55	9/14/01	\$110	\$55
Total	\$410		\$850	\$440

09/784,778

14122

The Commissioner is hereby authorized to charge \$440 as the fee deficiency, or the actual fee deficiency owed, and any additional fees which may be required to Deposit Account Number 19-2090.

It being established that small entity status was established in good faith, and fees as a small entity were paid in good faith, in error but without deceptive intent, compliance with the separate submission and itemization requirements of 37 C.F.R. § 1.28(c)(1) and (c)(2) being made herein, and payment of the fee deficiency being made herein,

IT IS HEREBY RESPECTFULLY REQUESTED that the error in claiming small entity status and paying small entity fees be excused.

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Respectfully submitted,
SHELDON & MAK PC

JUN 17 2002

TECHNOLOGY CENTER 2800

Date: 6-17-02

By Robert J. Rose
Robert J. Rose
Reg. No. 47,037

SHELDON & MAK PC
225 South Lake Avenue, 9th Floor
Pasadena, California 91101-3005
Telephone (626) 796-4000
Facsimile (626) 795-6321

I hereby certify that this paper is being transmitted by facsimile via (703) 872-9318 to the U.S. Patent and Trademark Office on the date shown below.

Printed Name: Trina L. Chamberlain
Signature: Trina L. Chamberlain Date: 6-17-02

09/784,778

14122

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : WONG, Tsin-Tuan Fan
 Serial No. : 09/784,778
 Filing Date : February 15, 2001
 Title : DECORATIVE LIGHT CONNECTOR
 Group Art Unit : 2875
 Examiner : FIGUEROA, Felix O

**STATEMENT PURSUANT TO 37 C.F.R. § 1.22(c)
 37 C.F.R. § 1.27(a)(2) NOTIFICATION**

Honorable Commissioner of Patents and Trademarks
 Washington, D. C. 20231

Dear Sir:

I, TSUI-TUAN FAN WONG, pursuant to 37 C.F.R. § 1.22(c) and in support of my deficiency payment, do state that I am the applicant in this case. Small entity status was established in this case and small entity fees were paid in good faith and without deceptive intent. I have now discovered that such small entity status was established in error, but without deceptive intent. Notice pursuant to 37 C.F.R. 1.27(a)(2) is hereby given that small entity status is not appropriate in this case.

Dated: June 13, 2002


 TSUI-TUAN FAN WONG

I hereby certify that this paper is being transmitted by facsimile via (626) 795-6321 to the U.S. Patent and Trademark Office on the date shown below.

Printed Name: Irina L. Chamberlain

Signature _____ Date _____

Submitted by: Robert J. Rose
 Reg. No. 47,037
 Sheldon & Mak PC
 225 South Lake Avenue, 9th Floor
 Pasadena, California 91101-3005
 Telephone (626) 795-4000 / Facsimile (626) 795-6321

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US Patent / 8/1/02

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PTO/SB/17 (11-01)

Approved for use through 10/31/2002. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT

\$1,822.00

Complete if Known

Application Number 09/784,778
Filing Date February 15, 2001
First Named Inventor WONG, Tsui-Tuan Fan
Examiner Name FIGUEROA, Felix O.
Group Art Unit 2875
Attorney Docket No. 14122

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JUN 17 2002

TECHNOLOGY CENTER 2000

METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit card ☐ Money ☐ Other ☐ None

☒ Deposit Account:

Deposit
Account
Number

19-2090

Deposit
Account
Name

Sheldon & Mak

The Commissioner is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments

☒ Charge any additional fee(s) during the pendency of this application

☐ Charge fee(s) indicated below, except for the filing fee to the above identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
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108	740	208	370	Reissue filing fee	
114	180	214	80	Provisional filing fee	
SUBTOTAL (1)					

2. EXTRA CLAIM FEES FOR UTILITY AND

Extra Claims		Fee from below		Fee Paid	
Total Claims					
29	-20** =	9	X 18.00 =	162.00	
Independent Claims	3	-3** =	0	X 0.00 =	0.00
Multiple Dependent					

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
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102	84	202	42	Independent claims in excess of 3	
104	280	204	140	Multiple dependent claim, if not paid	
109	84	209	42	Relissue independent claims over original patent	
110	18	210	9	Relissue claims in excess of 20 and over original patent	
SUBTOTAL (2)					\$162.00

**or number previously paid, if greater; For Relissues, see above

FEE CALCULATION (continued)

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
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147	2,520	147	2,520	For filing a request for ex parte reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
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117	920	217	460	Extension for reply within third month	920.00
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140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
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144	620	244	310	Plant issue fee	
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149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	740.00
169	800	169	800	Request for expedited examination of a design application	
Other fee (specify)					

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

\$1,660.00

SUBMITTED BY

Name	Registration No. (Attorney/Agent)	Telephone
Robert J. Rose	47,037	626-796-4000
Signature	Date	
<i>Robert J. Rose</i>	June 17, 2002	

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CERTIFICATE OF TRANSMISSION BY FACSIMILE (37 CFR 1.8)

Applicant(s): WONG, Tsui-Tuan Fan

Docket No.

14122

Serial No.

09/784,778

Filing Date

February 15, 2002

Examiner

FIGUEROA, Felix O.

Group Art Unit

2875

Invention: DECORATIVE LIGHT CONNECTOR

I hereby certify that this RCE Transmittal; Amendment; Petition for Extension of Time; Fee Transmittal FY 2002
(Identify type of correspondence)

is being facsimile transmitted to the United States Patent and Trademark Office (Fax. No. 703-872-9318)

on June 17, 2002

(Date)

Trina L. Chamberlain

(Typed or Printed Name of Person Signing Certificate)

Trina L. Chamberlain

(Signature)

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